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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/696,693
Filing Date	October 25, 2000
First Named Inventor	William Fitzpatrick, et al.
Group Art Unit	2161
Examiner Name	Not yet assigned
Attorney Docket Number	4797-30

Total Number of Pages in This Submission 19

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☒ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):  
Statement under 37 C.F.R. §3.73(b);  
Declaration of ownership pursuant to 37 C.F.R. §2.20; Certificate of amendment from Delaware Secretary of State; Incumbency certificate; Return receipt postcard.

Remarks

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Group 2100

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Leslie Gladstone Restaino, Reg. No. 38,893

Signature

*Leslie S. Restaino*

Date

10/10/2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

October 10, 2001

Typed or printed name

Joyce Sapjeta

Signature

*Joyce Sapjeta*

Date

10/10/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

2161

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: William Fitzpatrick, et al. Group Art Unit: 2161  
Serial No.: 09/696,693 Examiner: Not yet assigned  
Filed: October 25, 2000 Docket No. 4797-30  
For: **SYSTEM FOR PROVIDING FINANCIAL SERVICES**



55 Madison Avenue  
Morristown, NJ 07960  
September 7, 2001

Assistant Commissioner for Patents  
Box Assignments  
Washington, D.C. 20231

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STATEMENT UNDER 37 C.F.R. §3.73(b)

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [ ☒ ] the assignee of the entire right, title, and interest; or
2. [ ☐ ] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
  - A. [ ☐ ] an assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. [ ☐ ] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ to: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ to: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet.

[ ☒ ] Copies of assignments or other documents in the chain of title are attached.

The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01

  
Signature

John J. Burke  
Name

Associate General Counsel  
Title

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: William Fitzpatrick, et al. Group Art Unit: 2161  
Serial No.: 09/696,693 Examiner: Not yet assigned  
Filed: October 25, 2000 Docket No. 4797-30  
For: **SYSTEM FOR PROVIDING FINANCIAL SERVICES**



55 Madison Avenue  
Morristown, NJ 07960  
September 28, 2001

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**NOV 01 2001**

**Group 2100**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST**

Sir:

UBS PaineWebber Inc., a Delaware corporation, as assignee of record of the entire interest of the above patent application, U.S. Serial No. 09/696,693, hereby revokes all power of attorney previously given.

The following attorneys are hereby appointed with full power of substitution and revocation to prosecute and transact all business in the Patent and Trademark Office connected therewith: Leslie Gladstone Restaino, Reg. No. 38,893; Seth H. Ostrow, Reg. No. 37,410; Frank J. DeRosa, Reg. No. 26,543 and Ralph F. Hoppin, Reg. No. 38,494 of the firm Brown Raysman Millstein Felder & Steiner, LLP, 55 Madison Avenue, Suite 400, Morristown, New Jersey 07960, (973) 285-3222.

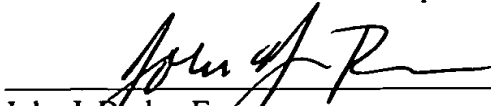
Direct all correspondence to:

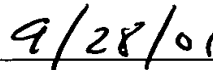
Leslie Gladstone Restaino, Esq.  
Brown Raysman Millstein Felder & Steiner LLP  
55 Madison Avenue  
Morristown, NJ 07960

Direct all telephone calls to (973) 285-3242.

The assignment of U.S. Serial No. 09/696,693 to PaineWebber Incorporated was recorded in the U.S. Patent and Trademark Office on October 25, 2000 at Reel 011296, Frame 0341.

Attached to this power of attorney is a Statement under 37 C.F.R. §3.73.

  
\_\_\_\_\_  
John J. Burke, Esq.  
Associate General Counsel  
UBS PaineWebber Inc.

  
\_\_\_\_\_  
Date



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Assistant Commissioner of Patents  
Box Assignments  
Washington, D.C. 20231

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Group 2100

**DECLARATION OF OWNERSHIP PURSUANT TO 37 CFR § 2.20**

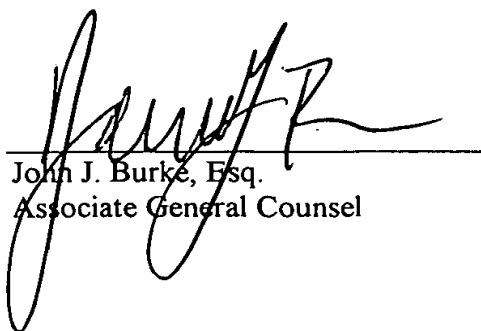
1. I, John J. Burke, hereby declare that I am an Associate General Counsel for UBS PaineWebber Inc. ("UBS PaineWebber").

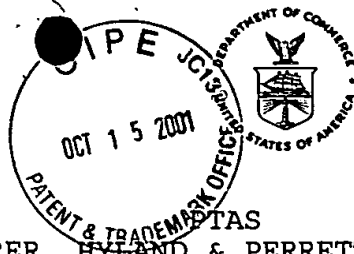
2. UBS PaineWebber was formed pursuant to a merger agreement between UBS AG ("UBS") and Paine Webber Group Inc. PaineWebber Incorporated ("PaineWebber") was a wholly owned subsidiary of Paine Webber Group Inc. UBS PaineWebber filed a Certificate of Amendment of Certificate of Incorporation, which is attached hereto, on March 5, 2001, with the Delaware Secretary of State to reflect the corporate name change.

3. UBS PaineWebber, a Delaware corporation with offices at 1200 Harbor Blvd. Weehawken, New Jersey 07087, has acquired all right, title and interest in and to all assets and liabilities of PaineWebber, including all patents, trademarks and other intellectual property of PaineWebber. A list of patent applications currently filed with the U.S. Patent Office is attached hereto as Exhibit A.

4. The undersigned being warned that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements and the like may jeopardize the validity of the application or document or any registration resulting therefrom, declares that all statements made of his/her own knowledge are true; and all statements made on information and belief are believed to be true.

Dated: September 6, 2001

  
\_\_\_\_\_  
John J. Burke, Esq.  
Associate General Counsel



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

FEBRUARY 07, 2001

RIKER, DANZIG, SHCERER, HYLAND & PERRETT  
LESLIE GLADSTON RESTAINO  
HEADQUARTERS PLAZA  
ONE SPEEDWELL AVENUE  
MORRISTOWN, NJ 07962



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UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/25/2000

REEL/FRAME: 011296/0341  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

FITZPATRICK, WILLIAM

DOC DATE: 10/24/2000

ASSIGNOR:

FURLONG, JOHN

DOC DATE: 10/24/2000

ASSIGNOR:

MAUER, ROBERT

DOC DATE: 10/24/2000

ASSIGNOR:

HUMMELBERG, DAVID

DOC DATE: 10/24/2000

ASSIGNOR:

FAHEY, KATHY

DOC DATE: 10/24/2000

ASSIGNOR:

DISTAULO, MARK

DOC DATE: 10/24/2000

ASSIGNEE:

PAINWEBBER INCORPORATED  
1200 HARBOR BOULEVARD  
WEEHAWKEN, NEW JERSEY 07087

SERIAL NUMBER: 09696693  
PATENT NUMBER:

FILING DATE: 10/25/2000  
ISSUE DATE:

DOROTHY RILEY, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



12-06-2000

FORM PTO-1595

(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

REC

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

101541030

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying parties:

William Fitzpatrick, John Furlong, Robert Mauer,  
David Hummelberg, Kathy Fahey, Mark DiStauloAdditional name(s) & party(ies) attached? ☐ Yes ☒ No

## 2. Name and address of receiving party(ies):

Name: PaineWebber Incorporated

Internal Address: \_\_\_\_\_

RECEIVED

Street Address: \_\_\_\_\_

1200 Harbor Boulevard Group 2100

City: Weehawken State: NJ Zip: 07087

Additional name(s) & address(es)  
attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_

Execution Date: October 24, 2000

## 4. Application number(s) or patent number(s): 9/096693

If this document is being filed together with a new application, the execution date of the application is: October 25, 2000

## A. Patent Application No.(s)

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Leslie Gladstone Restaino

Internal Address: \_\_\_\_\_

Riker, Danzig, Scherer, Hyland &amp; Perretti LLP

Street Address: \_\_\_\_\_

Headquarters Plaza

One Speedwell Avenue

City: Morristown State: NJ Zip: 07962

## 6. Total number of applications and patents involved:

1

## 7. Total fee (37 CFR 3.41) .....\$ 40.00

☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit account number:

50-0444

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Leslie Gladstone Restaino

Name of Person Signing

Signature

October 25, 2000

Date

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

JCS21 U.S. PTO 09/696693

# ASSIGNMENT

Assignment before issue of Letters Patent

Docket No. 4034-48

WHEREAS, we, William Fitzpatrick, a resident of Howell, County of Monmouth, State of New Jersey; John Furlong, resident of Plandome, County of Nassau, State of New York; Robert Mauer, a resident of Levittown, County of Nassau, State of New York; David Hummelberg, a resident of Basking Ridge, County of Somerset, State of New Jersey; Kathy Fahey, a resident of Stamford, County of Fairfield, State of Connecticut; Mark DiStaulo, a resident of Jersey City, County of Hudson, State of New Jersey

(hereinafter "Assignor") have invented certain new and useful improvements in

## SYSTEM FOR PROVIDING FINANCIAL SERVICES

(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents.

AND WHEREAS, PAINEWEBBER INCORPORATED, a corporation organized and existing under the laws of the State of Delaware, U.S.A., having a place of business at 1200 Harbor Boulevard, Weehawken, New Jersey, U.S.A., hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000  
William Fitzpatrick  
William Fitzpatrick

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000  
John C. Furlong 10/24/2000  
John Furlong

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of October, 2000  
Robert H. Mauer  
Robert Mauer

STATE OF New Jersey )  
COUNTY OF Hudson ) SS.:

On this 24<sup>th</sup> day of October, 2000 before me personally appeared  
William Fitzpatrick

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

*Clara L. Navarrete*

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004

My commission expires:

STATE OF New Jersey )  
COUNTY OF Hudson ) SS.:

On this 24<sup>th</sup> day of October, 2000 before me personally appeared  
John Furlong

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

*Clara L. Navarrete*

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004  
Notary Public

My commission expires:

STATE OF New Jersey )  
COUNTY OF Hudson ) SS.:

On this 24<sup>th</sup> day of October, 2000 before me personally appeared  
Robert Mauer

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

*Clara L. Navarrete*

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004  
Notary Public

My commission expires:

**Assignment**

William Fitzpatrick, John Furlong,  
Robert Mauer, David Hummelberg,  
Kathy Fahey and Mark DiStaulo

**TO  
PAINWEBBER INCORPORATED**

**INVENTION:  
SYSTEM FOR PROVIDING  
FINANCIAL SERVICES**

**Docket No.: 4034-48**

**PaineWebber Incorporated  
1200 Harbor Boulevard  
Weehawken, New Jersey 07087**

## ASSIGNMENT

Assignment before issue of Letters Patent

Docket No. 4034-48

WHEREAS, we, William Fitzpatrick, a resident of Howell, County of Monmouth, State of New Jersey; John Furlong, resident of Plandome, County of Nassau, State of New York; Robert Mauer, a resident of Levittown, County of Nassau, State of New York; David Hummelberg, a resident of Basking Ridge, County of Somerset, State of New Jersey; Kathy Fahey, a resident of Stamford, County of Fairfield, State of Connecticut; Mark DiStaulo, a resident of Jersey City, County of Hudson, State of New Jersey

(hereinafter "Assignor") have invented certain new and useful improvements in

### SYSTEM FOR PROVIDING FINANCIAL SERVICES

(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents.

AND WHEREAS, PAINEWEBBER INCORPORATED, a corporation organized and existing under the laws of the State of Delaware, U.S.A., having a place of business at 1200 Harbor Boulevard, Weehawken, New Jersey, U.S.A., hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24 day of October, 2000

  
David Hummelberg

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24th day of October, 2000

  
Kathy Fahey

IN TESTIMONY WHEREOF, I have hereunto set my hand this 24th day of October, 2000

  
Mark DiStaulo

STATE OF New Jersey )  
 ) SS.:  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

David Hummelberg

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Clara L. Navarrete

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004  
Notary Public

My commission expires:

RECEIVED

STATE OF New Jersey )  
 ) SS.:  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

Kathy Fahey

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ she \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ she \_\_\_\_\_ executed the same.

[SEAL]

Clara L. Navarrete

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004  
Notary Public

My commission expires:

STATE OF New Jersey )  
 ) SS.:  
COUNTY OF Hudson )

On this 24<sup>th</sup> day of October, 2000 before me personally appeared

Mark DiStaulo

to me known and known to me to be the individual \_\_\_\_\_ described in and who executed the foregoing instrument,  
and \_\_\_\_\_ he \_\_\_\_\_ acknowledged to me that \_\_\_\_\_ he \_\_\_\_\_ executed the same.

[SEAL]

Clara L. Navarrete

**CLARA L. NAVARRETE**  
A Notary Public of New Jersey  
My Commission Expires June 15, 2004  
Notary Public

My commission expires:

Assignment

William Fitzpatrick, John Furlong,  
Robert Mauer, David Hummelberg,  
Kathy Fahey and Mark DiStaulo

TO  
PAINWEBBER INCORPORATED

INVENTION:

SYSTEM FOR PROVIDING  
FINANCIAL SERVICES

Docket No.: 4034-48

PaineWebber Incorporated  
1200 Harbor Boulevard  
Weehawken, New Jersey 07087